

A Sharp Markov Brothers-Type Inequality in the Spaces L_∞ and L_1 on the Segment

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Abstract—The inequality between the uniform norm of the derivative of order ℓ of an algebraic polynomial of degree n and the L_1 -norm of the polynomial itself on a segment are studied. For all $\ell \geq (n-1)/3$, the exact constant and the extremal polynomial are written out.

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1. STATEMENT OF THE PROBLEM AND OBTAINED RESULTS

Let \mathcal{P}_n be the set of algebraic polynomials of degree at most n with real coefficients. In this paper, we study the inequality

$$\|P^{(\ell)}\|_\infty \leq C(n, \ell) \|P\|_1, \quad P \in \mathcal{P}_n, \quad (1.1)$$

with the exact constant $C(n, \ell)$. Here and elsewhere,

$$\|P\|_p = \left(\frac{1}{2} \int_{-1}^1 |P(x)|^p dx \right)^{1/p}, \quad 0 < p < \infty, \quad \|P\|_\infty = \max_{x \in [-1, 1]} |P(x)|.$$

Inequality (1.1) is a particular result in the general problem of estimating the L_q -mean of the ℓ th derivative of an algebraic polynomial via the L_p -mean of the polynomial itself:

$$\|P^{(\ell)}\|_q \leq C_{q,p}(n, \ell) \|P\|_p, \quad P \in \mathcal{P}_n, \quad 0 < p, q \leq \infty, \quad 1 \leq \ell \leq n. \quad (1.2)$$

Inequality (1.2) was studied in a large number of papers; an extensive survey of the results is given in [1], [2]. Ivanov [3] and Konyagin [4] obtained the most general estimates of the best constants in inequalities of type (1.2). Results from [3] imply the order of growth of the quantity $C_{q,p}(n, \ell)$ in n as $n \rightarrow \infty$ for fixed ℓ, p, q ; in particular,

$$C(n, \ell) = C_{\infty,1}(n, \ell) \asymp n^{2\ell+2}, \quad n \rightarrow \infty.$$

The exact values of $C_{q,p}(n, \ell)$ are known only for certain values of p, q , and ℓ . The Markov brothers [5], [6] obtained the sharp inequality (1.2) for $p = q = \infty$, $1 \leq \ell \leq n-1$; in this case, the Chebyshev polynomial of the first kind

$$T_n(x) = \cos(n \arccos x), \quad x \in [-1, 1],$$

is an extremal polynomial. Bojanov [7] (see also [8]) proved that the polynomial T_n is extremal also for all $q \in [1, \infty)$, $p = \infty$, $\ell = 1$. The case $p = q = 2$ was studied by Schmidt, Hille, Szegő, Tamarkin, Milovanović, Dörfler, and Kroó (see [9], [1], [10], [11]). Labelle [12] found the exact constant for $q = \infty$, $p = 2$, $1 \leq \ell \leq n-1$. If $\ell = n$, then the problem can be reduced to the determination of the polynomial of least deviation from zero in the metric of $\|\cdot\|_p$, with a fixed leading coefficient. For $p = \infty$, such a

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polynomial is the Chebyshev polynomial of the first kind [13], for $p = 2$, the Legendre polynomial, and, for $p = 1$, the Chebyshev polynomial of the second kind

$$U_n(x) = \frac{\sin((n+1)\arccos x)}{\sqrt{1-x^2}}, \quad x \in [-1, 1].$$

In the last case, the solution was obtained by Korkin and Zolotarev [14].

The main result of the present paper is the following theorem.

Theorem 1. *Let n and ℓ be natural numbers such that $(n-1)/3 \leq \ell \leq n-1$. Denote $u_k = U_k^{(\ell)}(1)$, $k = \ell, \dots, n$,*

$$\mathbf{U} = \begin{pmatrix} u_n & u_{n-1} & \cdots & u_\ell \\ u_{n-1} & u_{n-2} & \cdots & 0 \\ \cdots & \cdots & \cdots & \cdots \\ u_\ell & 0 & \cdots & 0 \end{pmatrix},$$

and let λ^* be the greatest eigenvalue of the matrix \mathbf{U} . Then

- 1) λ^* exceeds the absolute values of all the other eigenvalues of \mathbf{U} , has algebraic multiplicity 1, and the eigenvector $\alpha = (\alpha_0, \alpha_1, \dots, \alpha_{n-\ell})^\top$ corresponding to it has positive coordinates;
- 2) the exact constant in inequality (1.1) is $C(n, \ell) = \lambda^*$;
- 3) the extremal polynomials in inequality (1.1) are $P^*(x)$ and $P^*(-x)$, where

$$P^*(x) = \frac{aG^*(\arccos x)}{\sqrt{1-x^2}}, \quad a \in \mathbb{R} \setminus \{0\},$$

$$G^*(\theta) = \sum_{j=0}^{n-\ell} \sum_{k=0}^{n-\ell} \alpha_j \alpha_k \sin((n+1-j-k)\theta),$$

and here $\|P^{*(\ell)}\|_\infty = |P^{*(\ell)}(1)|$.

2. AUXILIARY STATEMENTS

We shall need the following definitions (see [15, Chap. 13]).

Let

$$A = \|a_{j,k}\|_1^n \quad \text{and} \quad C = \|c_{j,k}\|_1^n$$

be two real matrices of size $n \times n$. We shall write

$$A \geq C \quad \text{if} \quad a_{j,k} \geq c_{j,k} \quad \text{for all} \quad j = 1, \dots, n, \quad k = 1, \dots, n.$$

Let $A = \|a_{j,k}\|_1^n$ be a complex matrix. Denote by A^+ the matrix obtained by replacing all the entries of the matrix A by their absolute values: $A^+ = \||a_{j,k}|\|_1^n$.

A matrix $A = \|a_{j,k}\|_1^n$ is said to be *decomposable* if, for some partition of all indices $1, 2, \dots, n$ into two systems (without common indices)

$$j_1, j_2, \dots, j_\mu, \quad k_1, k_2, \dots, k_\nu, \quad \mu + \nu = n,$$

we have

$$a_{j_\alpha, k_\beta} = 0, \quad \alpha = 1, 2, \dots, \mu, \quad \beta = 1, 2, \dots, \nu.$$

Otherwise, the matrix A is said to be *indecomposable*.

By E_n we denote the unit matrix of size $n \times n$.

Lemma 1. *Let*

$$\mathbf{B} = \begin{pmatrix} b_{11} & b_{12} & \cdots & b_{1n} \\ b_{21} & b_{22} & \cdots & 0 \\ \cdots & \cdots & \cdots & \cdots \\ b_{n1} & 0 & \cdots & 0 \end{pmatrix},$$

where $b_{jk} \neq 0$, $j + k \leq n + 1$. Then the matrix \mathbf{B} is indecomposable.

Proof. For $n = 1$, the statement is obvious. For $n \geq 2$, let us use the criterion for the indecomposability of a matrix [16, Chap. VIII, Sec. 1, Theorem 8.11]: the matrix $B = \|b_{j,k}\|_1^n$ is indecomposable if and only if

$$(E_n + B^+)^{n-1} > 0.$$

If $n = 2$, then $E_n + \mathbf{B}^+ > 0$. Let $n \geq 3$. It suffices to prove that, for some $1 \leq m \leq n - 1$,

$$(E_n + \mathbf{B}^+)^m > 0.$$

It is readily verified that $\mathbf{B}^{+2} > 0$; therefore,

$$(E_n + \mathbf{B}^+)^2 \geq \mathbf{B}^{+2} > 0,$$

which proves the assertion. \square

Let \mathcal{T}_m be the set of trigonometric polynomials $G(\theta)$ of order m with real coefficients:

$$\begin{aligned} G(\theta) &= \alpha_0 + \sum_{k=1}^m (\alpha_k \cos(k\theta) + \beta_k \sin(k\theta)) \\ &= \operatorname{Re} \left(\sum_{k=0}^m \bar{\gamma}_k e^{ik\theta} \right), \quad \gamma_k = \alpha_k + i\beta_k, \quad \alpha_k, \beta_k \in \mathbb{R}, \quad \beta_0 = 0. \end{aligned}$$

Following Geronimus' paper [17], let $L[G]$ denote the integral

$$L[G] = \frac{1}{2\pi} \int_0^{2\pi} |G(\theta)| d\theta. \quad (2.1)$$

Suppose that we are given the collection c of $s + 1$ complex numbers

$$c = (c_{m-s}, \dots, c_m), \quad c_k = a_k + ib_k.$$

Let $\omega[G, c]$ denote the linear functional of $s + 1$ leading coefficients of the polynomial $G(\theta)$:

$$\omega[G, c] = \sum_{k=m-s}^m \alpha_k a_k + \beta_k b_k = \operatorname{Re} \sum_{k=m-s}^m \bar{\gamma}_k c_k.$$

In what follows, the essential role is played by the following result due to Geronimus; in it the norm of $\omega[\cdot, c]$ is calculated as that of a linear functional on the space \mathcal{T}_m with norm (2.1).

Theorem A (Geronimus [17, Theorem II], [18, Theorem I]). *For any $G \in \mathcal{T}_m$, the following inequality holds:*

$$\frac{|\omega[G, c]|}{L[G]} \leq \frac{|\omega[G_0, c]|}{L[G_0]} = \frac{\pi \delta_0}{2}, \quad s \leq \left\lfloor \frac{2m-1}{3} \right\rfloor.$$

Here δ_0 is the greatest root of the secular equation

$$\mathbf{C}(\delta, c) = \begin{vmatrix} \delta & 0 & \cdots & 0 & \bar{c}_{m-s} & \bar{c}_{m-s+1} & \cdots & \bar{c}_m \\ 0 & \delta & \cdots & 0 & 0 & \bar{c}_{m-s} & \cdots & \bar{c}_{m-1} \\ \cdots & \cdots & \cdots & \cdots & \cdots & \cdots & \cdots & \cdots \\ 0 & 0 & \cdots & \delta & 0 & 0 & \cdots & \bar{c}_{m-s} \\ c_{m-s} & 0 & \cdots & 0 & \delta & 0 & \cdots & 0 \\ c_{m-s+1} & c_{m-s} & \cdots & 0 & 0 & \delta & \cdots & 0 \\ \cdots & \cdots & \cdots & \cdots & \cdots & \cdots & \cdots & \cdots \\ c_m & c_{m-1} & \cdots & c_{m-s} & 0 & 0 & \cdots & \delta \end{vmatrix} = 0. \quad (2.2)$$

The equality sign holds only for polynomials of the form

$$G_0(\theta) = \operatorname{Re}(q^2(z)z^{m-2s+\nu})|\tau(z)|^2, \quad z = e^{i\theta},$$

where $\nu + 1$ is the multiplicity of the root δ_0 , $\tau(z)$ is an arbitrary polynomial of degree at most ν , $q(z)$ is a polynomial of degree $s - \nu$ determined from the expansion

$$\delta_0 \frac{q(z)}{z^{s-\nu} \overline{q(1/\bar{z})}} = \bar{c}_{m-s} + \bar{c}_{m-s+1}z + \cdots + \bar{c}_m z^s + \cdots, \quad |z| \leq 1.$$

The following lemma is the main component of the proof of Theorem 1.

Lemma 2. Suppose that we are given natural numbers m and s such that $s \leq (2m - 1)/3$ and a collection $b^* = (b_{m-s}^*, \dots, b_m^*)$, $b_k^* > 0$. Then, for any collection $b = (b_{m-s}, \dots, b_m)$, $b_k \in \mathbb{R}$, with the property

$$|b_k| \leq b_k^*, \quad k = m - s, \dots, m, \quad (2.3)$$

and any odd polynomial $G(\theta)$ of degree m ,

$$G(\theta) = \sum_{k=1}^m \beta_k \sin(k\theta) = \operatorname{Re} \sum_{k=0}^m \bar{\gamma}_k e^{ik\theta}, \quad \gamma_k = 0 + i\beta_k,$$

the following inequality holds:

$$\frac{|\omega[G, ib]|}{L[G]} \leq \frac{\pi \lambda^*}{2}, \quad (2.4)$$

where λ^* is the greatest eigenvalue of the matrix

$$\mathbf{B}^* = \begin{pmatrix} b_m^* & b_{m-1}^* & \cdots & b_{m-s}^* \\ b_{m-1}^* & b_{m-2}^* & \cdots & 0 \\ \cdots & \cdots & \cdots & \cdots \\ b_{m-s}^* & 0 & \cdots & 0 \end{pmatrix}. \quad (2.5)$$

The eigenvalue λ^* exceeds the absolute values of all the other eigenvalues, has algebraic multiplicity 1, and to it corresponds the eigenvector $\alpha = (\alpha_0, \alpha_1, \dots, \alpha_s)^\top$ with positive coordinates $\alpha_k > 0$, $k = 0, \dots, s$.

Inequality (2.4) becomes an equality if and only if, for some $\varepsilon \in \{-1, 1\}$ and $\nu \in \{0, 1\}$, the representation

$$b_k = \varepsilon(-1)^{\nu k} b_k^*, \quad k = m - s, \dots, m, \quad (2.6)$$

is valid and the polynomial G has the form

$$G(\theta) = aG^*(\theta + \nu\pi), \quad a \neq 0;$$

here

$$G^*(\theta) = \sum_{j=0}^s \sum_{k=0}^s \alpha_j \alpha_k \sin((m-j-k)\theta) = \sum_{k=1}^m \beta_k^* \sin(k\theta). \quad (2.7)$$

Besides, the first $s+1$ coefficients of the polynomial $G^*(\theta)$ are positive:

$$\beta_k^* > 0, \quad k = m-s, \dots, m. \quad (2.8)$$

Proof. The proof is carried out in several steps.

1. Let us establish inequality (2.4). By Theorem A, we have

$$\frac{|\omega[G, ib]|}{L[G]} \leq \frac{\pi\delta_0}{2},$$

where δ_0 is the greatest root of Eq. (2.2) $\mathbf{C}(\delta, ib) = 0$.

Denote

$$\mathbf{B} = \begin{pmatrix} b_m & b_{m-1} & \cdots & b_{m-s} \\ b_{m-1} & b_{m-2} & \cdots & 0 \\ \cdots & \cdots & \cdots & \cdots \\ b_{m-s} & 0 & \cdots & 0 \end{pmatrix}, \quad B = \begin{pmatrix} b_{m-s} & b_{m-s+1} & \cdots & b_m \\ 0 & b_{m-s} & \cdots & b_{m-1} \\ \cdots & \cdots & \cdots & \cdots \\ 0 & 0 & \cdots & b_{m-s} \end{pmatrix}.$$

For any δ , in view of the properties of block matrices [15, Chap. II, Sec. 5, item 3], the following relation holds:

$$\mathbf{C}(\delta, ib) = \begin{vmatrix} \delta E & -iB \\ iB^\top & \delta E \end{vmatrix} = |\delta^2 E - BB^\top|, \quad E = E_{s+1}.$$

By direct multiplication, we verify the equality $BB^\top = \mathbf{B}^2$; therefore,

$$\mathbf{C}(\delta, ib) = |\delta^2 E - \mathbf{B}^2| = |\delta E - \mathbf{B}| |\delta E + \mathbf{B}|. \quad (2.9)$$

Similarly, we obtain the equalities

$$\mathbf{C}(\delta, ib^*) = |\delta^2 E - \mathbf{B}^{*2}| = |\delta E - \mathbf{B}^*| |\delta E + \mathbf{B}^*|. \quad (2.10)$$

It is easy to verify that the matrix $(\mathbf{B}^*)^2$ is positive; therefore, by Perron's theorem [15, Chap. XIII, Sec. 2, Theorem 1], it has an eigenvalue $(\lambda^*)^2$, $\lambda^* > 0$, that exceeds the absolute values of all the other eigenvalues and has multiplicity of 1. The matrix \mathbf{B}^* is nonnegative and, by Lemma 1, is indecomposable. Therefore, it follows from relation (2.10) and the Frobenius theorem [15, Chap. XIII, Sec. 2, Theorem 2] that λ^* is an eigenvalue of \mathbf{B}^* of multiplicity of 1, is greater than the absolute values of all the other eigenvalues of \mathbf{B}^* , and to it corresponds the eigenvector $\alpha = (\alpha_0, \dots, \alpha_s)^\top$ with positive coordinates $\alpha_k > 0$, $k = 0, \dots, s$.

Let us prove that $\delta_0 \leq \lambda^*$, and study the cases of equality. Let δ_1 be the greatest (in absolute value) eigenvalue of the matrix \mathbf{B} . In view of relation (2.9), we have $|\delta_1| = \delta_0$. Condition (2.3) implies the inequality $\mathbf{B}^+ \leq \mathbf{B}^*$. Thus, all the assumptions of Lemma [15, Chap. XIII, Sec. 2, Lemma 2] hold; hence

$$|\delta_1| = \delta_0 \leq \lambda^*;$$

here the equality is attained only in the case where

$$\mathbf{B} = e^{i\varphi} D \mathbf{B}^* D^{-1}; \quad (2.11)$$

The left- and right-hand sides of the k th equality coincide, respectively, with the coefficients of z^{s-k} on the left- and right-hand sides of (2.16). Thus, we have established that the expansion (2.14) is valid.

Substituting (2.15) into (2.13), we obtain

$$G^*(\theta) = \operatorname{Re} \left(-2i \sum_{j=0}^s \sum_{k=0}^s \alpha_j \alpha_k e^{(m-j-k)i\theta} \right) = 2 \sum_{j=0}^s \sum_{k=0}^s \alpha_j \alpha_k \sin((m-j-k)\theta) = \sum_{k=0}^m \beta_k^* \sin(k\theta),$$

where

$$\beta_{m-k}^* = 2 \sum_{j=0}^k \alpha_j \alpha_{k-j}, \quad k = 0, \dots, s. \quad (2.17)$$

In view of item 1 of the proof, the equality in (2.4) is attained for the collection $b = \tilde{b}$ as well:

$$\tilde{b} = (\tilde{b}_{m-s}, \dots, \tilde{b}_m), \quad \tilde{b}_k = \varepsilon(-1)^k b_k^*, \quad k = m-s, \dots, m, \quad \varepsilon \in \{-1, 1\},$$

and the extremal polynomial is also unique up to a numerical multiplier. Consider the polynomial

$$\tilde{G}(\theta) = G^*(\theta + \pi) = \sum_{k=0}^m (-1)^k \beta_k^* \sin(k\theta). \quad (2.18)$$

For it, the following relations hold:

$$|\omega[\tilde{G}, i\tilde{b}]| = |\omega[G^*, ib^*]|, \quad L[\tilde{G}] = L[G^*].$$

Therefore,

$$\frac{|\omega[\tilde{G}, i\tilde{b}]|}{L[\tilde{G}]} = \frac{\pi \lambda^*}{2}.$$

In view of item 1, there are no other extremal collections b and hence also no extremal polynomials. The lemma is proved. \square

3. PROOF OF THEOREM 1

Let us write the quantity $C(n, \ell)$ as

$$C(n, \ell) = \sup_{P \in \mathcal{P}_n} \frac{\|P^{(\ell)}\|_\infty}{\|P\|_1}. \quad (3.1)$$

Let us expand the polynomial $P \in \mathcal{P}_n$ in the Chebyshev polynomials of the second kind:

$$P(x) = \sum_{k=0}^n \tau_k U_k(x) = \sum_{k=1}^{n+1} \beta_k U_{k-1}(x),$$

and, to it, let us assign the trigonometric polynomial

$$G(\theta) = \sum_{k=1}^m \beta_k \sin(k\theta), \quad m = n+1. \quad (3.2)$$

Replacing $\theta = \arccos x$, we express the denominator of (3.1) as

$$\|P\|_1 = \frac{1}{2} \int_{-1}^1 \left| \sum_{k=1}^m \beta_k \frac{\sin(k \arccos x)}{\sqrt{1-x^2}} \right| dx = \frac{1}{4} \int_0^{2\pi} \left| \sum_{k=1}^m \beta_k \sin(k\theta) \right| d\theta = \frac{\pi}{2} L[G].$$

It is well known that $\|U_k^{(\ell)}\|_\infty = U_k^{(\ell)}(1)$ for all k and ℓ . Consider all possible collections of numbers $\{\varepsilon_k\}_{k=\ell+1}^m$, where ε_k assumes the values 1 or -1 . Then the numerator (3.1) can be estimated as follows:

$$\|P^{(\ell)}\|_\infty \leq \sum_{k=1}^m \|\beta_k U_{k-1}^{(\ell)}\|_\infty = \sum_{k=\ell+1}^m |\beta_k| U_{k-1}^{(\ell)}(1) = \max_{\{\varepsilon_k\}_{k=\ell+1}^m} \sum_{k=\ell+1}^m \varepsilon_k U_{k-1}^{(\ell)}(1) \beta_k. \quad (3.3)$$

Set $s = m - (\ell + 1) = n - \ell$,

$$b_k^* = U_{k-1}^{(\ell)}(1), \quad b_k = \varepsilon_k U_{k-1}^{(\ell)}(1), \quad b^* = (b_{m-s}^*, \dots, b_m^*), \quad b = (b_{m-s}, \dots, b_m).$$

In this notation, inequality (3.3) takes the form

$$\|P^{(\ell)}\|_\infty \leq \max_{\{\varepsilon_k\}_{k=\ell+1}^m} \sum_{k=\ell+1}^m \varepsilon_k U_{k-1}^{(\ell)}(1) \beta_k = \max_b |\omega[G, ib]|.$$

It follows from the inequality $(n-1)/3 \leq \ell \leq n-1$ that

$$1 \leq s \leq \frac{2n+1}{3} = \frac{2m-1}{3}.$$

Therefore, the assumptions of Lemma 2 hold and, applying it, we obtain the estimate

$$\frac{\|P^{(\ell)}\|_\infty}{\|P\|_1} \leq \max_b \frac{2}{\pi} \frac{|\omega[G, ib]|}{L[G]} \leq \lambda^*, \quad (3.4)$$

where λ^* is the greatest characteristic number of the matrix (2.5). Besides, the right-hand inequality in (3.4) becomes an equality only on the polynomials (2.7). By formula (3.2), to the polynomial $G^*(\theta)$ corresponds the polynomial

$$P^*(x) = \sum_{k=1}^{n+1} \beta_k^* U_{k-1}(x)$$

and to the polynomial $G^*(\theta + \pi)$ corresponds the polynomial $P^*(-x)$. In view of condition (2.8) on the coefficients β_k^* , the following relations hold:

$$\begin{aligned} \|P^{*(\ell)}(x)\|_\infty &= \|P^{*(\ell)}(-x)\|_\infty = P^{*(\ell)}(1) = \sum_{k=\ell+1}^{n+1} \beta_k^* U_{k-1}(1) = |\omega[G^*, ib^*]|, \\ \|P^*(x)\|_1 &= \|P^*(-x)\|_1 = \frac{\pi}{2} L[G^*]. \end{aligned}$$

Therefore, $C(n, \ell) = \lambda^*$, and $P^*(x)$, $P^*(-x)$ are extremal polynomials.

The proof of the theorem is complete.

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